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ABSTRACT

In this document, which points out weaknesses in evaluation procedures and offers a new approach to the subject, it is suggested that in the area of the United States studied, the Title 1 program is drifting without direction, leadership, or system. This makes evaluation impossible. Evaluation is sometimes a description of a program and often objectives are not stated in precise behavioral terms which would serve as a base for evaluation and which would dictate the program. The document recommends the creation of a viable system and the establishment of active leadership to direct the program. It presents four working papers which deal with the following aspects: an analysis of the situation as it exists, the proposal of a system for a state-wide Title 1 program, evaluation, and an explanation on why and how the writer views the system as realistic and possible. [Not available in hard copy due to marginal legibility of original document.] (nl)

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James B. Whipple

TITLE I OF THE HIGHER EDUCATION ACT OF 1965:

EVALUATION OF THE PRESENT PROGRAM

RECOMMENDATIONS FOR THE FUTURE

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INTRODUCTION

This is a critical report. I hope readers will not be offended or take my comments personally because my purpose is not to make arrogant judgments from on high, but to be constructive. Unquestionably, there have been good and interesting experiments worthy of support. The Agency and the Advisory Council have been conscientious and often imaginative in administering the program. This is all the more impressive in view of the inadequate funding and the lack of specific direction in the Higher Education Act of 1965.

My assignment was to propose a method for evaluating the Title I program. I have done so, but early in my investigation I discovered that the program had a long way to go before any serious evaluation could be undertaken. In my judgment there are serious weaknesses in the present procedures, and until they are eliminated we cannot expect any significant progress. I believe we must deal with these problems directly, bluntly and unveiled by polite compliments. We put on one face in the family and quite another for the outside world. My comments are written as an internal report to advise the Agency and its Council, not as a public relations document.

My findings and conclusions may be summed up briefly. (1) At present our Title I program is drifting without direction, without leadership and without system. Most of the inadequacies stem either directly or indirectly from this fact. Among other things this means that we are not learning anything from our experience that might contribute to better state-wide programming in the future. Finally, it makes it impossible to face the problem of evaluation. (2) Therefore, the first task for the Agency is the creation of a viable system and the establishment of active

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leadership to direct the program. The active leadership must be provided by the Agency. (3) Within the context of a system, it becomes possible to consider evaluation.

I have tried to deal with these issues in four working papers. The first paper contains my analysis of the situation as it exists. The second paper proposes a system for a state-wide Title I program In the third paper, I have discussed evaluation. In a very brief final paper I suggest why and how I view the system as realistic and possible.

GENERAL EVALUATION: NEW DIRECTIONS FOR TITLE I

Introduction

The ultimate purpose of educational evaluation is to nurture growth or change in individuals or groups, and the process of evaluation is to measure growth or change which occurs as a result of educational experiences. Measurement implies the existence of a set of standards and a system for applying the standards so that we can record relative differences between situations. We all apply many familiar standards daily although we do not call it evaluation--thus we measure or evaluate time, temperature, distance, and business transactions. For education the standard is behavior broadly defined to include the emotional and cognitive as well as overt action.

Admittedly this is not as manageable a standard as heat or humidity because human behavior is more complex, more varied and more relative. But the principle is the same. If we want more heat in the house we push up the thermostat and later evaluate the efficiency of the furnace or the thermostat by checking the thermometer. If we want to change attitudes or action of people in regard to interracial marriage, we develop an educational program to achieve this purpose and subsequently apply investigative procedures to measure the change or the program.

I will return to the question of evaluation procedures in the third working paper, but for the moment it should suffice to make three additional comments. First, in order to measure growth or change, the particular behaviors must be identified in the statement of educational objectives--for example, it is not enough to make the objective: To combat white racism or even to study the question of interracial marriages. It must be more specific - to develop

support for interracial marriages, for example. Furthermore, the statement must specify the behavioral outcomes expected, and these may range from increased awareness or understanding to overt action in support of interracial marriage.

Second, evaluation must not be confused with the moral issue - that is, the question as to whether interracial marriages are or are not a good thing. This is a value judgment. As such it is subject to examination and must be an important consideration for higher education and the Advisory Committee or the Agency. But it is not subject to educational evaluation in the sense it is being described here.

Finally, evaluation must not be a one-shot proposition conducted at the end of a program, and from the Agency's point of view it must not be restricted to discrete projects. It must be carried on systematically throughout a program and for the Agency must be seen in the perspective of a state-wide program under Title I.

Problems

An examination of the proposals and reports of Title I programs thus far provides no sound basis for any legitimate evaluation whatsoever. Almost without exception there are no precise statements of objectives. There are no specifications of behaviors to be nurtured or changed. The state-wide program as a whole operates without system with the notable exception of the administrative arrangements.

Without question the genesis of the problem rests in the act itself, which sets broad sweeping purposes leaving specifications to the U. S. Office of Education and the individual states. This point has been emphasized in the report. He points out that the act has caused "confusion" by combining continuing education and

community service and by failing to define the role of higher education in continuing education or community service. It is true that this lack of definition has been a problem and has "heightened the confusion" during these first years. In the long run, however, the vagueness is also the act's great strength--if its terms had spelled out the answer to _____ s questions, we would be in trouble. In its wisdom Congress decided not to say: This is continuing education, this is community service and this is the role of higher education. More properly it implied: We are not sure; let's find out together. In the final analysis this is what the first few years have been all about.

In this sort of situation where there are no rules, no science (no principles or bodies of knowledge) the approach must be empirical. From this point of departure, however, it is possible to proceed in one of two ways: Unsystematic empiricism or systematic empiricism. Thus far _____ we have elected to be unsystematic. Each institution has gone its own way conducting a series of discrete projects, in many cases disconnected one from the other even within a single institution. Nothing appears to have been learned, no principles appear to have emerged. Like stones rolled onto the beach at high tide, they lie half buried in the sand, rarely noticed and unexamined for pattern or purpose that may have been imposed by chance. Finally another tide picks them up and carries them back to the bottom of the sea.

A case can be made for this random procedure--testing, probing, experimenting with a number of approaches, a number of interpretations of Title I and a variety of roles for higher education. But the process cannot continue to be unsystematic. At some point the empiricism must become systematic. Furthermore, if there is to be a

system, it can be imposed only by the Title I agency.

Thus far the role of the I Agency has been passive. There has been a sincere effort to award grants equitably. Project reports have been dutifully collected and filed. There has been only minimal fulfillment of the federal requirements for a state plan--by merely designating the emphasis on local government the Agency underscores its intention not to intervene actively in the state-wide program. The only point at which the Agency is not passive is in the supervision of the administrative red tape imposed by the Office of Education. It goes without saying that this is important--and it is my impression that it has been done extremely well at

-but it does not change the fact that the Agency's role has been essentially passive.

There appears to be a strong feeling, both on the staff and the Council that the condition is explained by the lack of staff--the need for a full time person. This is unquestionably a pressing need, but we are fooling ourselves if we accept this half-truth as the sole or even major explanation. In my judgment, even a part time person could operate differently if he were to start from the base of a clearly established system and the assumption of an active role.

It is worth noting that most of the program directors interviewed by me also viewed the Agency as playing a passive role. Title I is seen as another pork barrel, albeit a very small one, where institutions of higher education may dip in for their share of the funds to undertake discrete projects. They accepted emphasis on local government as necessary to comply with terms of the act. Depending upon their institutional interests, some would like to see the emphasis on local government continue and others would like to see it changed. In responding to my question regarding the proper

role for the Agency, it was clear that project directors looked for little more than money and guidance in dealing with the red tape imposed by Washington. One director, commenting on the role of the Agency, volunteered to rank directors -ho rejected one of them out of hand because he was "too theoretical."

In spite of this general satisfaction with a passive, untheoretical agency, I believe it misses a major purpose of the legislation. I suspect the vision of the lawmakers was much closer to cooperative extension than to a pork barrel. This means we must have sound principles, including a clear specification of state-wide objectives, and a system in which the role of the agency is active rather than passive. Until this is done there is not much point in talking about evaluation or about improving the quality of the selection process and effectiveness of Title I programs

Evaluation of the Present Program

In view of the problems as I see them, what can be said about the current programs? In the absence of clearly stated objectives prior evaluators, both formal and informal, have tended to apply their own criteria, sometimes stated, more often unstated, and frequently imposed after the fact.

The __ Report is a case in point. After emphasizing the need for more precise objectives, the report starts off bravely with a couple of randomly selected interpretations of Title I. But in the end it resorts to its own yardstick--"the structures (the program) developed for meeting its objectives." It is important to recognize that this is not an objective of either the Agency or individual programs. It is the __ equation: If the structure is effective, the program is successful. If it were an acceptable standard, it could still serve as a basis for future evaluation. In my judgment,

however, it is not adequate. At least as it stands alone it is highly mechanistic, grossly oversimplified and potentially dangerous. One simply cannot evaluate a program on the basis of exclusive concern for structure or process without any regard for substance. It makes it possible, for example, to compare prunes and oranges and to decide in favor of oranges because its easier to extract the juice even if the special quality of prunes is what the doctor ordered.

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Evaluations by the Title I directors were the most disappointing aspect of the Title I program. My discussions with agency directors from other states and with the staff in Washington confirm my judgment: Our program as a whole leaves much to be desired, but it is no better and no worse than counterparts in other states. If this is damnation with faint praise, it need not be. As already suggested the early years were bound to be devoted to exploration, to encouraging experimentation in many directions. This is justifiable if we learn something in a systematic way that will help us achieve a sense of purpose and direction for Title I. This is what I looked for in the project reports--and by and large it simply was not there. This does make the faint praise damning--and it does not help much to know that other states are in the same boat.

The root of the problem rests in the inadequate statement of objectives. An analysis of some forty programs that have received Title I support reveal that statements of purpose fall into the following categories. (1) <u>They are so broad and general that it is impossible to identify any measureable outcomes</u>. For example, one program receiving a grant stated its purpose was to alert the community regarding the problem of a growing aging population and to

educate social workers, welfare personnel, city officials and civic minded citizens regarding the latest findings and programs in the field of gerontology.

(2) Objectives are stated in such cosmic, ambitious terms that they are completely out of touch with reality. For example, the purpose of one program was to solve the problems of poor community leadership in semi-rural areas. To such a grand purpose one can only say, "Wow!"

(3) Objectives are stated in terms of the program. One purpose, for example, was to provide a series of workshops for directors of volunteer services in all settings that use volunteers, providing them with consistent, systematic training to improve their creativity and effectiveness and thereby improving the volunteer services which they supervise. Among other things, this is too general to be meaningful, but more significant, all it says in effect is: Our purpose is to run a program.

(4) Objectives are phrased as a restatement of the need. In one case, a proposal claimed there was a need for community development to provide coordination and leadership. Then it went on to say that the purpose was: To bring together leaders of the community to coordinate efforts and to offer new programs that will develop community leadership and citizen improvement.

Attempting to evaluate a program on the basis of ink blots such as these is like using a garter snake as a measuring rod. Even with the best intentions in the world it is not surprising that project directors have failed to produce very useful or meaningful reports. In many cases it is impossible to avoid the clear impression that they either do not understand the evaluation process, or choose to ignore it, viewing the report as a formality required in order

to receive the final payment on the grant.

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In either event genuine evaluation is inevitably almost non-existent and meaningful reports are few and far between. Generally, reports may be classified as follows.

1) The headcount. The numbers game is a favorite preoccupation of report writers. There are enthusiastic accounts of participants reckoned up by dozens and wild inferences of others reached indirectly Those who simply cannot claim hordes of students may talk about the small, selective audience. In part the headcounting syndrome is a reflection of the marketplace mentality often found among adult educators, but it is encouraged here by the emphasis on cost per participant in the U. S. Office of Education. The number of people reached by a program is not unimportant, but educationally speaking it becomes relevant only in relation to educational objectives. Out of context numbers are at best meaningless and at worst misleading distractions from the substantive aspects of the educational experience.

2) The happiness count. Another favorite question of adult educators is: Is everybody happy? Did you like the professor? Was the meeting room comfortable? Would you prefer to have more class sessions or fewer? Do you feel satisfied with the program? Do you think it will be helpful? Like headcounting, this is part of the marketplace mentality which puts selling education on a par with selling a new container for post toasties. Again it is not that such feelings or opinions are unimportant, particularly with adults who are not captives of the formal school system. But they become significant only in the context of many factors in the total evaluation. In some cases the evaluation reports consisted of a happiness

count and nothing more.

3) The circular argument. This form of report and evaluation is probably the most popular. It goes something like this: The community has a particular need; we propose a program to serve the need; we ran the program; therefore, the need has been served. Neither a need nor a program is synonymous with purpose. Furthermore, it is impossible to escape the conclusion that on many occasions there was little or no connection between the need and the program. In effect the institution jacked up a need and put a program under it, a program that they wanted to run anyway. In any event, this sort of reporting tells us nothing and perhaps is more useless than head or happiness counting.

4) Descriptive reports. In a number of cases the evaluation takes the form of a description of the program. Although there is great variety in the quality and usefulness of these reports, the more thoughtful statements do provide insights that could help shape future programming. Perhaps the most effective reports are those that anguish over failures or inadequacies. Some of the explanations for failures are incredibly naive. For example, it really is not necessary to invest $10,000 to $12,000 to learn that adults are motivated when the material is immediately relevant, or that it is difficult to hold adults to the conventional academic schedule of one class per week for fourteen weeks. Nevertheless, there is meat in many reports. If the data were analyzed, it could be used to improve the quality of state-wide programming.

5) The tangible product. In a few cases the outcome and in effect the report has taken the form of a tangible product. Thus, College can show us a reference library, College a collective bargaining manual; College and the University of

_____ have produced a series of manuals dealing with charter revision. These are solid accomplishments, but educationally speaking their existence does not demonstrate that any change or growth occurred. It may be argued that such projects represent community service and that this is sufficient. If this is to be a policy of the Agency, it should be clearly stated and objectives for the project should be specified. In other words, it is not enough to state that the purpose is to prepare a manual or set up a library. The Agency should know what purposes the project is designed to serve

6) <u>The random plus</u>. Another kind of report has been the report of beneficial outcomes which, if not entirely unanticipated, exceeded reasonable expectations. In some cases these extras have nothing to do with the purposes and are of dubious value as community service and continuing education. It is nice to know, for example, that a program was visited by foreigners and applauded by a national association. But it does not show how or if the community benefited. Particularly when the answer is not provided elsewhere in the report, we are bound to ask: Is this a justifiable expenditure of $15,000? Similarly there are questions about other random benefits such as favorable publicity complete with newspaper clippings.

In other cases the extras represent impressive gains for continuing education and community service and appear to be in line with expressed or implied objectives of the Agency and the Advisory Council. There is evidence (either in the reports of from my interviews) that Title I projects strengthened institutional commitment to continuing education and community service. At ___ Title I projects have quickened and strengthened plans to set up a continuing education division. At ___ College, the Title I grant was a crucial factor in enabling the creation of its Municipal

Reference Bureau.

In another direction Title I projects have enabled institutions to commence programs that will extend beyond the grant program. The community study at College has been followed by a second study and by planning of courses to implement the findings. A Title I grant to University has helped launch a graduate program that probably will continue long after the grant has been spent. In , the Center for Community Studies appears to be well on its way toward becoming a permanent institution.

Another extra in the experiment has been effective inter-institutional cooperation. The Advisory Council has looked with great favor on joint projects and has been the catalyst to bring institutions together for common undertakings. It may be the major exception to the passive role and shows what can be accomplished by an active agency.

Finally, some Title I projects appear to make a positive impact on the community. The evidence is rather thin, but at least it is possible to see hopeful signs. For example, claims that the Title I project made the community more aware of the college as an institution concerned with community service and community education. In another case, the project appears to have inspired the creation of an on-going citizens committee concerned with regional planning.

The Evaluation Process and Program Development

Statement of objectives. Benjamin Bloom, an evaluation authority from the University of Chicago once commented that a statement of objectives in precise, behavioral terms can serve two purposes: It is a base for evaluation; but more immediately,

it dictates program. In other words, if you are precise about the outcomes you want to achieve, it becomes easy, or relatively so to design educational experiences that will achieve your objectives.

This obviously is not possible with almost all our Title I programs. In fact, as I have pointed out, it often appeared that proposals were created by starting in the middle with a pet program or favorite method. The fine sounding statements of needs and objectives appear as an afterthought to satisfy requirements. Even if this is not the way it was, the fact remains that none of the proposals state objectives in such a way that they give directions regarding substance or method of the educational experience. It is not possible for the programmer or the teacher to say: If these are the kinds of people to be reached, if these are the outcomes you want to achieve, then these are the educational experiences I will introduce and these are the methods I will use.

One possibility, of course, is that the program director or the teacher had objectives in mind--they merely were not stated. I tested this hunch in some of my interviews, but found little evidence that the concern for objectives or outcomes had gone deeper than the superficial statements incorporated in the proposals. In one case I asked the question directly: In the back of your mind do you have specific outcomes you are trying to achieve? The answer was an immediate and categorical "No."

Underlying Assumptions.

Closely associated with the statement of objectives there is the question of hypotheses or assumptions underlying the project. I am sure there are assumptions behind all Title I projects, but they are either unconscious or superficial. Unless the hypothesis is clearly stated and consciously incorporated in the program, we

cannot test it and cannot learn anything about its validity that could be applied to future programs.

Superficial hypotheses are really not worth testing. It is not enough, for example, to assume that finance committees need to update knowledge in order to handle municipal budgets--at best this is a cliché rooted in the fallacious notion that more specialized knowledge is the solution to all our problems. It is not my purpose to question the assumption, but I do wonder about the validity of a program based on this cliché receiving federal support.

This is not to imply that . . . should not have received support from Title I, but I believe one purpose of the program should be directed toward testing some hunches or hypotheses. It simply is not enough to say we used tried, conventional methods, based on conventional hypotheses and are pleased to report we have thirty or forty contented finance committee members in . . . .

Knowledge about community problems.

A third difficulty appears to be lack of knowledge about the problem that is being attacked and about the community, or potential adult student body. In one case the program proposal frankly stated that the first phase would be research and investigation of the literature. This was to be used to build a library and to determine how a planning region should be defined. Without such basic knowledge it is not surprising that an institution has no hypotheses or objectives. Indeed the introduction of plans for an educational program becomes somewhat naive.

Other institutions were less frank, but in program after program it is apparent that the analysis of the situation and hypothetical formulations were entirely inadequate. In one case, a program was so out of touch with the situation that it did not

even reach the urban police force which was the original target and for which the money had been given. In many other cases, the mid-point "progress reports" revealed that instead of being half-way done, programs were just starting because there was so much learning and planning to be done.

This sort of activity is perfectly legitimate, particularly in an area like community service where we have so much to learn. I believe it is unfortunate that the Higher Education Act of 1965--at least as interpreted by the U. S. Office of Education--takes such a dim view of grants for study and research which is so necessary for effective program planning. Given the situation, however, it becomes even more important that whatever may be learned from each and every Title I program must be integrated into a state-wide body of knowledge or set of principles regarding community service and continuing education. One of the unhappy facts of Title I programs thus far is that each project starts from scratch to rediscover what could be part of a common body of knowledge.

The Agency

One of the impressive aspects of Title I is the sincerity, the sense of responsibility and the energy of both the staff and at least those members of the advisory Council who have been active. In spite of this commitment, however, there are problems--and no one recognizes this better than the staff and Advisory Council. At Council meetings and in personal conversations, staff and Council members openly acknowledge inadequacies in the selection and evaluation of programs. In large measure the Agency's problems are inherent in the inadequacies which have been discussed already. In part the problem rests within the Agency itself where there is the same fuzziness and lack of clarity regarding state-wide

objectives, hypotheses, and knowledge of the field.

In thinking about state-wide objectives, I believe a number of issues must be considered. One has already been raised: Shall the Agency's role be active or passive? As I have already indicated, in my judgment the Agency must be prepared to assume an active role. In the remainder of this section I would like to discuss four additional problems that I believe are barriers to an effective state-wide program.

1) Thus far no way has been found to use any of the data or anything learned from the Title I projects. According to he and I are the only two persons who have even read the complete files of the programs for the fiscal years, 1966-1968. Even the proposals have not been read completely by more than a handful of the Council members who have served on the Selection Committee.

It goes without saying that by and large project directors are unaware of Title I programs of colleagues in the field. They do not even know what the projects are, not to mention anything substantive about them. To carry this to its extreme, the Director of the Bureau of Public Affairs at College was not even aware of other Title I projects at his own institution. In another case, at University the results of one project were not used or even considered in any way in a second project which claimed it was building upon the results of the first experiment.

As I have pointed out, in spite of the shortcomings of the project reports, there is much to be learned from some of them and probably something from all. The organization and analysis of this material could contribute to a body of knowledge about community service and continuing education. It could help the Advisory Council

in making judgments about individual projects and setting state-wide objectives. The collective experience could help individual institutions in future programming. It could obviate unnecessary duplication.

To take one example, the College undertook a survey of economic needs and opportunities as a prelude to development of educational programs to serve these needs. To some extent if the findings were generalized, other institutions serving similar sized cities should be able to develop programs without making a similar survey. At a minimum the procedures and findings should be available for comparative purposes. The report lies unused anywhere except in

In another case, I had occasion to talk with about the Charter Revision Project being offered by College and the University At the time was not sure how the two institutions should organize the television discussions which are part of the project. Because I had recently talked to about his T.V. Assembly, I was able to suggest that College might be able to use "listening posts." was not really familiar with the T.V. Assembly and the idea had not occured to him. I do not know whether anything has, will or even should materialize. This point is that this kind of bridge must exist and be exploited systematically.

2) In this same connection, ultimately the Agency must be familiar with or have means of finding out about major developments in community service and continuing education outside of the Title I program. This is more complicated and more difficult, but it can be achieved gradually. It is obvious, I believe, that knowledge of other continuing education programs can contribute to Title I projects

and can help avoid duplication.

Again to cite one example, has received two grants to support seminars for members of town finance committees.

believes that these are much needed, original and successful. It is also claimed that the tuition must be underwritten. The Advisory Council has generally supported this position and has been impressed by the program. In a very cursory review of the total program . . I discovered a course on budget and finance for municipal officers. It has been offered for several years, and the tuition charge is fifty dollars. According to , the course has been taken by town finance committee members. I did not pursue this beyond these superficial facts. A more thorough examination might demonstrate that is making a distinct contribution. Perhaps it is necessary to charge no tuition. Without information about the e program, however, the Agency is unable to make comparative judgments, or constructive suggestions to strengthen the experiment.

3) The Agency has been unwilling or unable to come to grips with the relationship of higher education to terms that are crucial to Title I. What is the relationship between higher education and community service? What is the difference between consultation and education? Are both legitimate concerns of higher education? What has "problem solving" to do with higher education--and indeed, what is a problem for the purposes of Title I?

Certainly from the point of view of higher education the definition of a problem must go further than the laundry list of specific needs which can be compiled from the proposals to date. To remind you of a commonplace, problems are not all of the same order--they may be very specific and immediate or very broad and encompassing.

To use the case just cited, budgeting practice is part of a larger problem of municipal finance which in turn is part of the crisis of the city as a social organization. Similarly the immediate problems of housing or political participation in the ghetto are part of larger problems of urban living.

As I have already pointed out, the tendency in the Title I program has been to deal in discrete projects. One of the major outcomes of this approach is that we never see problems whole. Obviously for educational purposes we must break down the whole problem into manageable proportions, but they must be viewed and developed as contributions to a larger whole. Otherwise we are pouring our money and efforts into a bottomless pit. It is the responsibility of higher education in general and the State Agency in particular to provide this perspective.

I found it disappointing that the university consortium underwritten by Title I appears to be taking this same fractured view of problems in parts rather than wholes. When I interviewed some of the participants, I found none of them had even considered the notion that problems might be of different order, and the project was moving ahead with the discrete, easy-to-get-at, nuts-and-bolts issues.

the consortium met with a number of public officials to ask them for help in identifying major problems.

began the meeting by suggesting a whole problem--he talked about survival of the city and about the need to examine municipal functions to determine what could be performed by the contemporary city and what should be performed by some other agency. As examples

noted a number of particular issues that were related to this larger problem. When he had finished, members of the consortium and other municipal administrators proceeded to ignore completely the

large problem. They latched on to his particular examples, added a few more of their own and discussed them all without any reference to the larger context. Only one member of the consortium, ., appeared to want to follow lead; when he was shouted down, he joined the game of listing particulars.

In the formal report of the meeting, whole problem was not even mentioned. The list of thirteen problems emerging from the discussion is reproduced in full.

1) Municipal Finance
2) Improving regional arrangements
3) Short tenure of mayors (2 years)
4) Public education costs
5) Shortage of trained personnel for municipal governments
6) Lack of standards for measuring the performance of departments
7) Need to incorporate standards of evaluation into the management reporting systems
   - suggested use of computors to design useful systems
8) Sources of additional funding for cities
9) Understanding Mayor's need for and preparing budgets
10) Lack of Public's understanding about what they are getting
11) Municipal needs for standards, structures and staff
12) Mayor's lack of time to run the city
   - problem of sorting out priorities
13) Legislature passes acts which over-burden the cities financially

I have grave doubts that some of these problems lend themselves to an educational solution. But assuming they do, how do you set priorities with a list like this--take a popularity vote? One of the disarming aspects of this approach is that it can give us a false sense of accomplishment. It is like a bunch of Boy Scouts rushing through the forest randomly chopping down some dead branches they happen to see and can reach. At the end of the day they are tired and happy over their good works, but the forester knows they have done essentially nothing to preserve the forest.

This short view is not limited to the consortium, but applies to the total program. It is not surprising that administrators,

harried by the pressure of day-to-day tasks often take a short view of their problems. But educators should know better and certainly the Agency must take a responsibility for seeing it whole.

4) There must be a concerted effort to locate other agencies or organizations that might cooperate with Title I on matters of common interest. Cooperation might take the form of joint projects or supplementary financial support. The latter is much needed in view of the limited amount of money available and the restrictions regarding its use. Although this is not a simple task, I do not believe it is impossible.

To take one example, the law and its interpretation by the U. S. Office of Education make it extremely difficult to undertake research under Title I. Yet in many areas research is desperately needed. In the course of my investigation I talked with

He saw no reason why some institution could not receive support from his program for educational research that was related to community service and continuing education. Similarly, when I visited

I found interest in exploring possibilities for cooperation. Both of these are a long way from firm commitments, but they do indicate interesting possibilities.

All of this may seem overwhelming in the face of limited staff and limited funds available to the Agency. Certainly this is an important reason why little has been done. On the other hand, a beginning can be made without too much effort. The discussions mentioned above did not take very long--lunch and about thirty minutes This is not a reflection on the staff . but a return to an earlier point. So far Title I

has failed to develop a clear sense of direction and a system to implement the program.

Summary

In this working paper I have attempted to indicate the direction in which I believe the program must move. It involves: Seeing the problems of community service and continuing education whole; setting objectives in precise, measureable terms; development of a sound theoretical base; and the construction and dissemination of a body of knowledge. This can be accomplished if the Agency assumes an active role to provide leadership, coordination and integration of a state-wide effort.

II

A SYSTEM FOR THE PROGRAM UNDER TITLE I OF THE HIGHER EDUCATION ACT

Introduction

In this second working paper I want to discuss the elements of a system to implement the program in the directions suggested in my evaluation. As I have already implied, in my judgment the creation of a system for the operation of Title I is crucial to the development of a more effective program of community service and continuing education. In many ways it is more crucial that the evaluation process, because it comes first and is prerequisite to effective evaluation and program development.

System may be an ill-advised term to explain what I have in mind. It has many meanings and can be very complicated and highly technical. Still, it is a good word to emphasize what needs to be done to provide an organized, logical way to deal with the various factors related to the Title I program. Actually, what I have in mind contains the common element found in all systems--the integration of diverse factors by means of a unified methodology. From a technical point of view the system for Title I leans toward cybernetics in that its concern must be for processing information rather than transforming energy.

One of the objections to a system for Title I may be rooted in the conventional wisdom: Neither staff nor funds to implement the system are available now or in the foreseeable future; therefore, it is not practical. But I see the system first as a model or goal toward which we are striving. With this in mind, I see the system as sufficiently flexible to permit us to do whatever is possible with whatever resources are available. Whatever

we do, however, must fit and help build toward the long range goal. It seems to me that this will accomplish a number of things.

1) It will give a sense of direction, which is now lacking; and it will strengthen our ability to establish policy and provide consistent leadership to higher education.

2) It will provide us with a framework for making our empiricism systematic and establish a base for continuing evaluation.

3) It will provide us with an orderly way to store whatever knowledge we collect so that it can be applied.

4) The existence of a system and an indication that the Agency knows where it wants to go will be the most persuasive argument we have to convince legislators or others that we should receive more financial support. It is one thing to wring our hands and wail: There is so much to do if we only had more staff and more money. It is quite another to be able to show precisely what is needed and why.

5) Finally, since the alternative to a system is the chaos of no system at all, what can we lose?

How the System Works

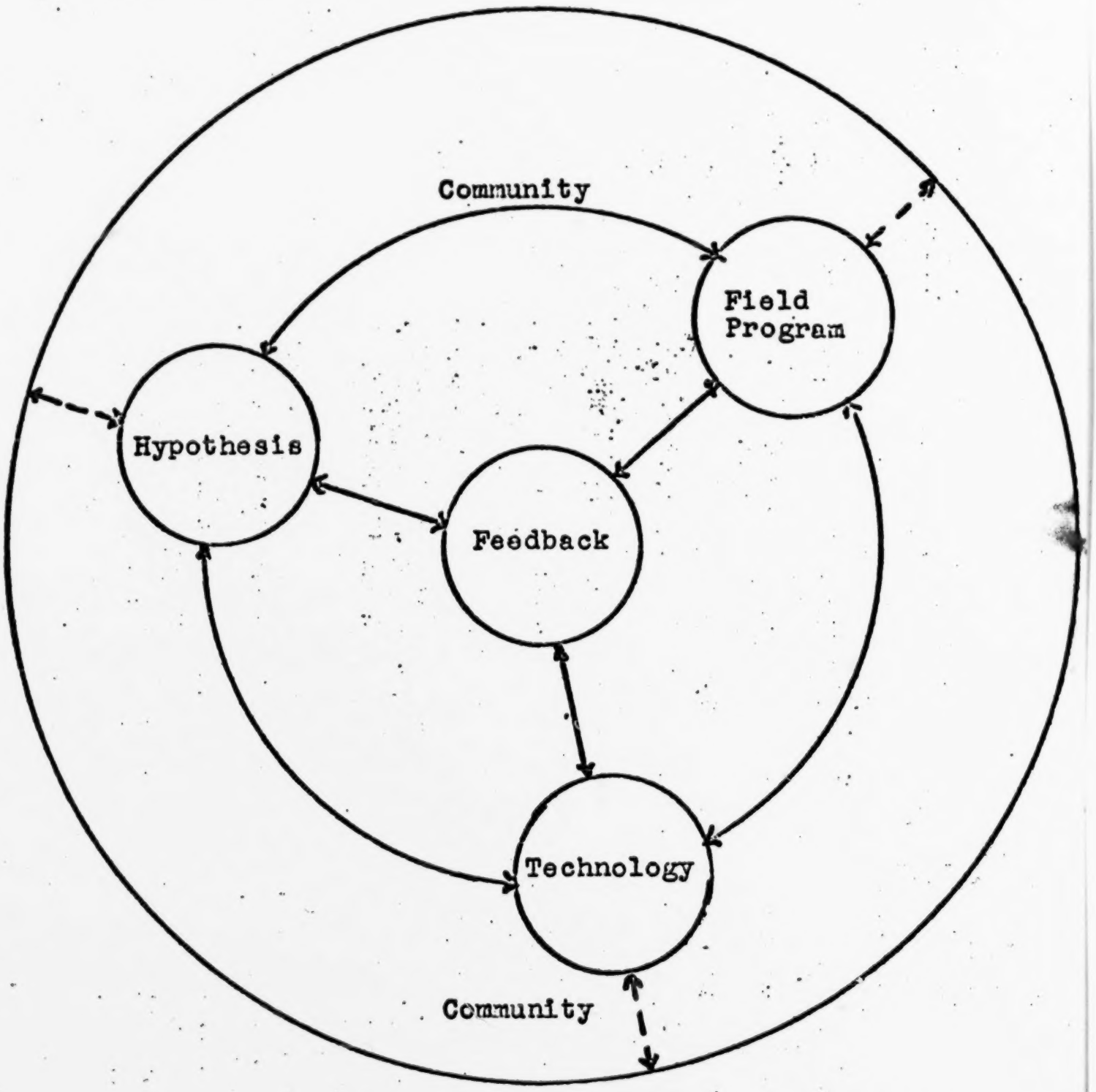
To help you visualize the system as a whole I have prepared a chart which appears on page 24. As the chart indicates, the system is visualized as performing three functions, held together and directed by the agency which is placed in the middle.

1) The first step in the process is the development of ideas, hunches, hypotheses. They may emerge from institutions of higher education, the agency, the community, or some combination of the three.

2) The next step is the technology. The idea is translated into a plan for an educational program--this is the proposal which

DIAGRAM

A System for Operating Title I
of the Higher Education Act



presents the hypotheses, the objectives or expected outcomes, and and the substance and method of the educational experience. This is probably done by the institution of higher education, but the community and the agency may participate.

3) Finally there is the field experiment carried out by the college or university in a particular community. Again the program is operated primarily by the educators, but the community and the agency may participate.

4) In the center we have the agency. This is the feedback for our system. It processes the information, but in our system it must do more than that. You will recall that the word, cybernetics, comes from a Greek word meaning steersman. Our steersman is no automatic pilot with pre-determined settings. The agency is captain and navigator, constantly evaluating the course and exercising human judgment as it intervenes at all points in the process to provide leadership, direction and support. In other words, it is an active agency, not a passive one.

5) The system is enclosed in a larger circle which is called the community. The community is not part of the educational system per se, but as indicated by the arrows, it is involved at all points. Incidentally, this formulation resolves the question: What is the community? It is the organization or group of people we happen to be serving in any given situation. As such it is ubiquitous, always involved. At the same time it never has the specific structure required to assign it a function or responsibility as an integral part of the system.

6) Finally, the system shifts the emphasis in community service and continuing education from absolutes to process. So far, programs developed under Title I--and indeed, in most continuing education--

are based on absolutes which take the form of a linear progression which goes something like this. We have a goal to change or improve some aspect of community life; facts are gathered regarding needs related to this goal; a program is planned and implemented. Any connection between this approach and improving the quality of community life is coincidental. It is purely academic and may work inside the formal educational system, but is not relevant for community service and continuing education.

In this system the emphasis is on continuing education as a process. It begins with hypothesizing--the creation of ideas that are tested all the way round the circle through the technology and field implementation. The ideas may be rejected and undoubtedly will be modified at any point as they come up against the realities of teaching and community life. Ultimately an idea may come full circle to be restructured and sent around again and again--and perhaps again.

Until we can create a system with a feed back mechanism, little progress will be made toward building a process that makes a viable connection between higher education and the quality of community life.

In Regard to Flexibility

At first glance the system may appear to be highly inflexible. Actually I do not think it need be because the process is circular not linear. A linear system would presume a set of fixed stages, in this case running from hypothesis through technology to field experiment. In a circular system we can start anywhere. Ideas may emerge from random experiments with technology or programs. During the early stages this is unquestionably where the process will begin because that is where we are. The point is that with a

system we need not worry that current projects are random because the data and experience can be applied systematically.

Summary

I believe this system need not be created out of whole cloth but can be developed gradually. Perhaps even more important, it should be possible to enter the system at many points, following the path of least resistance, if you will. Gradually we could expect to build a body of knowledge about community service and continuing education and to see problems of the Commonwealth whole--and from this beginning we should be able to move toward more precise objectives, a sound theoretical base and an increasingly effective state-wide program.

III

EVALUATION

In the third working paper I want to discuss the evaluation process. As I have pointed out, evaluation does not make much sense unless we know where we are heading with Title I and unless we have a system to implement our purposes. Having considered directions and a system, I believe we are ready to look at evaluation.

Evaluation is inevitable. Where choice is involved or where relative judgments are applied, there is no question about its absence or presence. It occurs either consciously or unconsciously, systematically or unsystematically. Our task is to find ways to make evaluation of Title I more conscious and more systematic. I made some general comments about evaluation in the first working paper. Let me pick up from there with a few particular points which I believe are significant for us.

A) Purpose of Evaluation

First, our purpose should be to test ideas and evaluate programs not students. This may seem like a fine point, but it is an important distinction and may be difficult for the academic mind to digest. In formal schooling the emphasis is the other way round. We examine and evaluate students. The instructor may wonder about his course or his teaching methods, particularly if his class grades do not fit into a bell-shaped curve. But the basic object remains to measure student achievement, and our tests ask: How is the student doing? For Title I we must ask: How is the program doing, and how do our hypotheses or ideas check out? To what extent does the program produce the desired outcomes? To what extent are our theories verified or modified by the experience of the program?

B) Definitions

Second, it will be helpful to be clear about the definition of a number of terms related to evaluation.

Purposes are broad statements of educational ends--for example, to improve the quality of community life. . .to improve the competence of public administrators. . .to improve local government. . . to improve the quality of volunteer service. Such statements are necessary starting points, but they do not give us much help in program development or evaluation. Often this was as far as many of the Title I proposals went.

Objectives are more explicit statements of traits or characteristics needed to achieve the purposes--for example, to make the public administrator understand the relationships between his office and the rest of the community. If this were for a program we would probably want to make this more precise, but this should serve for illustrative purposes. It begins to define the characteristics of a competent administrator, and incidentally, is based on the hypothesis that the administrator would be more competent if he viewed the community whole and understood his relationship to the total community life.

One temptation in considering objectives is to include too many. This has been a weakness in many of Title I proposals. There always will be a plethora of good objectives and the problem is one of setting priorities based on reality, importance and considerations regarding appropriate progression from one stage to the next. Probably most programs would have more than a single objective, but it should not have so many that their achievement is beyond the realm of possibility.

Outcomes are the achieved results of an educational program--for example, the public administrator can state the principles or concepts used in making relationships. . .he can apply those principles to a variety of hypothetical situations. . .he applies the principles on the job. Obviously outcomes and objectives must be related, but they are not synonymous. In this connection, outcomes may influence objectives. When we reach the point of specifying possible outcomes, it may be necessary to modify or restate objectives to bring them in line with realistic outcomes.

C) Behavioral Change

Third, we must be clear on the meaning of behavioral change. At least for our purposes, the definition must go beyond overt action. Behavior may be active or passive, cognitive or conative--it may be concerned with motivation, cognition, decision making, or action. Motivation is primarily a matter of interest or attitudes. Cognition at an elementary level involves knowledge or concepts or principles; at a deeper level it is concerned with an understanding of relationships between various phenomena. Decision making involves the ability to make critical judgments and to apply knowledge and values. Action is merely the ultimate and most obvious outcome of an individual's emotional or intellectual behavior.

Any of these forms of behavioral change is a legitimate objective of education. From the point of view of program planning or evaluation, however, we must be clear about the level of behavior we expect to modify or change. I have prepared a check list on behavioral change with special reference to improving local government--see Appendix A at the end of the working paper.

D) Teaching and Learning

Learning is the process by which experience develops new and reorganizes old responses. Once we are clear about the new behaviors we want to develop or the old behaviors we want to reorganize, we are ready to ask: Are the planned learning experiences appropriate for our purposes?

As teachers and educators we are aware of most of the principles of teaching and learning, but we often forget to apply them consciously and consistently. To remind you of the obvious, it is important that we are always aware of three important factors: Readiness to learn; opportunity to confirm, transfer and apply new knowledge; and motivation to learn.

Without readiness learning will be indifferent at best and may not occur at all. Readiness involves an appreciation of the relevance of the learning experience and the intellectual ability to deal with it. The application of knowledge is equally important. The learner learns only what he himself does; he must be able to see that what he has learned solves problems; and he must be able to recognize the similarity between the learning and the transfer situation. Finally, there must be motivation. Students learn only what they want to learn. Generally speaking there are two important characteristics of motivation: Direction and intensity. Is the learning experience goal-oriented and does it have importance relative to alternative activities? A check list on learning and evaluation is included as Appendix B.

E) Measuring the Outcomes

Measurement is the final phase of the evaluation process--and technically the most complicated part of the task. Normally we think of evaluation as based on scientifically developed instruments,

long drawn-out and frightfully expensive. Certainly it is beyond the financial resources of this program, but at this point I doubt that it would be desireable even if we had the money. The range of problems and inevitable variety of objectives make the creation of standard tests overwhelming. Furthermore, particularly at this point of exploration, we must encourage the widest possible experimentation and discourage the kind of closure implicit in a standardized testing system. Therefore, I recommend that evaluation take the form of systematic self-study.

Self-study always presents the danger of self-deception, and of course it exists, but it is not inevitable particularly if the study is systematic and if it is conducted by educators whose professional stance includes detatched search for truth where ever it may lead.

A systematic self-study approach should include the following six elements.

1) Whatever the device or methods used they must always be aimed at the main question: Is the program achieving the desired outcomes?

2) The study should be undertaken continuously from the beginning of the program to the end. If the program is not achieving its objectives, we should ask: Why not? Are the objectives inappropriate or unclear? Are the educational experiences irrelevant? Is the organization of the program inadequate? Are the evaluation methods invalid?

3) Since a self-study is largely a subjective method, provision should be made to gather evidence in more than one way, by more than one person, and from as many people as possible.

4) The self-study must start with a clear and precise assessment of the situation in a community and the characteristics of the participants with reference to the desired outcomes. This is the base from which progress, or lack of it, is measured.

5) Many methods may be used. I am listing six fairly familiar approaches, but of course there are many others.

a) Note books or diaries may be kept by both staff and participants to provide evidence on progress toward desired objectives.

b) Participant observers may be used for the same purpose.

c) Role playing may be employed to test changes in attitudes or ability to handle or apply knowledge.

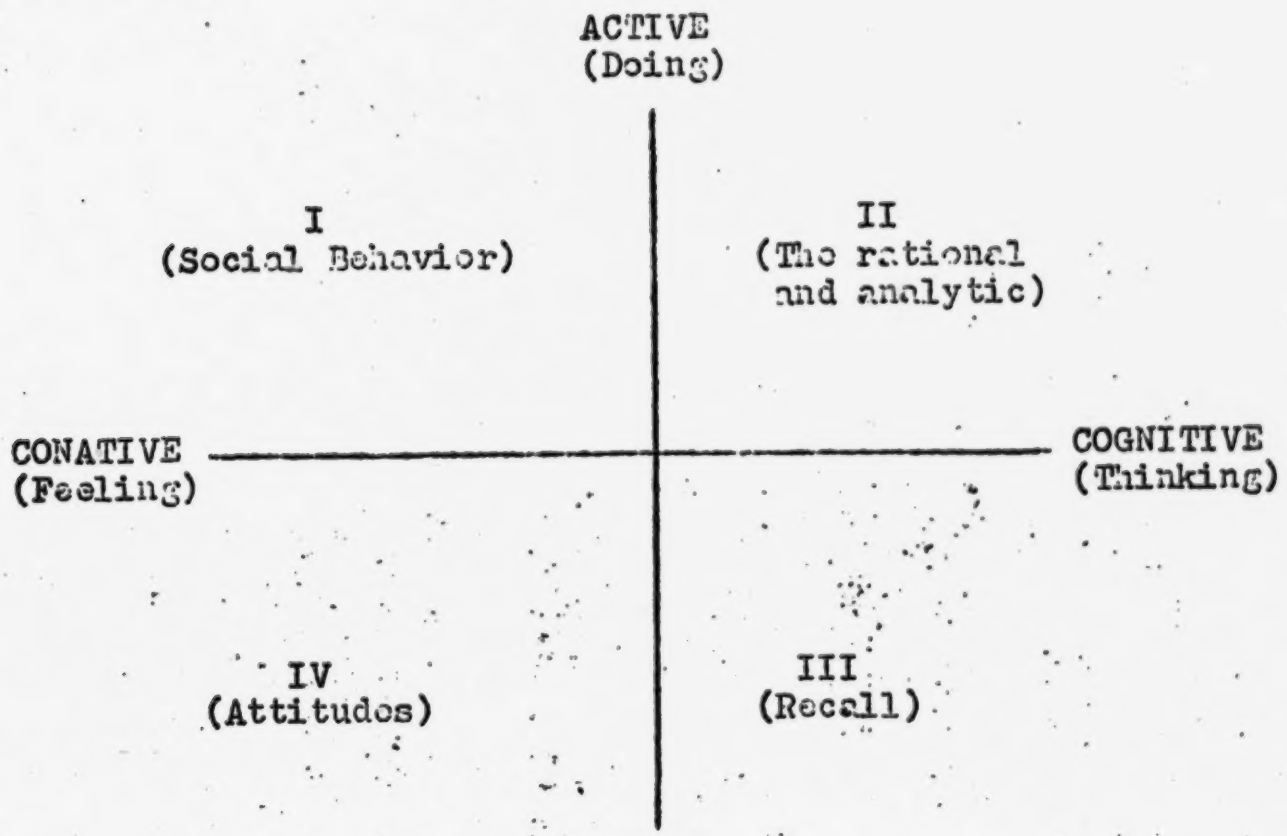
d) Rigged situations may be created that will provide a more valid way to test changes in attitudes or ability to use new knowledge or ideas. Role playing is always somewhat artificial, but situations can be contrived so that participants are not aware they are being evaluated. For example, in a program designed to eliminate aspects of racial prejudice, a situation was contrived outside the program itself in which a complete stranger expressed prejudiced opinions; reactions and ways in which members of the group dealt with the situation were observed.

e) Real activities, whether they are introduced as part of the learning experience or represent the individual's daily work, may be observed. This does not mean asking a man's superior how the individual is doing. An attempt must be made to discover whether the desired outcomes of the program are reflected in his performance.

f) Paper and pencil tests or oral examinations are still a good way to discover some of the things we want to know. This is particularly the case with cognitive skills of knowing, analysis, problem solving, etc. There are many useful standard tests that help measure changes in attitude or the ability to analyze problems and arrive at sound judgments. And of course tests may be designed by the instructional staff. It is generally claimed that adults are test shy. While this is half true there are ways to obtain cooperation in the spirit of experimentation or in presenting the test as part of the learning experience. Actually the shyness is largely a reticence to expose ourselves. Most of us secretively try those newspaper quizzes with the answers upside down because we want to know how we are doing.

6) Finally, it may be helpful to think about outcomes in terms of the categories of behavior which we may be attempting to change

or strengthen. The formulation below is based on a chart developed by Harry L. Miller for his book Teaching and Learning in Adult Education.



Programs in the first quadrant aim at changing people's social behavior based largely on beliefs or feelings. Change is difficult to measure. Verbal tests tend to be unreliable because it is one thing to know the right answer and another to practice what we preach. Role playing, contrived situations and observation outside the program provide the best methods.

Programs in the second quadrant are concerned with the development of cognitive activity: The acts of judging, determining relationships, problem solving. In measuring these activities one must be aware that they are complex. They should not be confused with passive cognitive ability merely to recall an analysis that was read or learned in the program. Evidence of cognitive activity may be gathered from simulated problems or from observation of daily activities.

Programs in the third quadrant, on the other hand, are concerned with the passive acquisition of knowledge. This is the most familiar area for most of us in higher education, the easiest to teach and the easiest to measure. It involves recall, recognition of facts or principles or the application of principles to new contexts. Written or oral examinations may be used to measure progress.

The fourth group of objectives represent basic attitudes or feelings that may or may not be evident in behavior. This may be the most difficult of all areas and two cautions should be made. First many educators question whether changing attitudes is a legitimate educational objective at all. Second, some behavioral scientists argue that we cannot distinguish between what a person says and what he does--that what he says is not a true reflection of attitudes. Even if we are skeptical, it may be useful to check changes in attitude as peripheral or secondary objectives. Perhaps the best device for this purpose is some form of the Lickert Scale which provides the respondent with opportunity to agree or disagree on a five point scale--e.g. I strongly agree; I agree somewhat; I am not concerned; I disagree somewhat; I strongly disagree.

F. Summary

In this working paper we have considered evaluation as a series of stages in educational programming. First, we must have ideas or hypotheses. Second, we must have the statement, classification and selection of objectives and outcomes. Third, this is followed by selection, planning and organization of appropriate educational experiences. Fourth, there is evaluation. It is an on-going process, not something we do at the end of a program. Our purpose is to measure change or the extent to which desired outcomes are being achieved. If there is little or none it may be because: Our hypotheses are faulty; the objectives are inappropriate or unclear; the educational experience is not relevant; or the evaluation instruments are not valid.

This is not the final stage, however; the process goes on--the results of the evaluation are followed by: Restatement of hypotheses and objectives; reselection of educational experiences; and re-evaluation. This continuing process is the heart of the system proposed in the second working paper--and within the system it is the active stage agency that must provide direction and integration necessary to make the process work.

APPENDIX A

Check List on Behavioral Change in Local Government

I. Motivation (Interest, Attitudes)

At the immediate level we can anticipate interest in local government. Actually, interest in citizen participation in local government may never have been higher. At a deeper level, however, sustained interest is another matter. Interest may be dulled by: Feelings of being overwhelmed by its vastness and remoteness; confusion over sources of information; complexity of political problems; the distractions of an affluent society.

II. Cognition

1. Knowledge of concepts and principles is undoubtedly the most familiar aspect of education and evaluation. Its concern to us in improving local government is not as an ultimate objective but as a relevant basis for other cognitive skills.

2. Understanding relationships requires the ability to recognize connections among facts or areas of knowledge, and to develop a content or frame of reference appropriate to the phenomena to be related. It requires both analysis and synthesis. In dealing with local government (and with all social and political concepts, for that matter) there are a number of special problems: (a) the concepts are abstract; (b) people are often emotionally involved with objects to be categorized; (c) there is a tendency to classify new experiences on the basis of old experiences; (d) there is pressure to be influenced by personal interests. On the other hand there are some positive factors: (a) people are accustomed to classifying and some of their categorizing is correct; and (b) as people recognize that they are part of many relationships, motivation to master abstract concepts is heightened.

III. DECISION

1) Critical judgment involves: (a) an ability to identify critical issues; (b) an ability to analyze an argument; (c) an ability to arrive at conclusions consistent with the analysis; (d) an ability to deal with non-related elements. Behaviors are changed by a program which meets these four criteria.

2) Values may be attacked by psychotherapy, propaganda or education. Propaganda attempts to change values without confrontation or understanding of one's own value system. Using different approaches psychotherapy and education attempt to see particular action, decisions, or positions in terms of a particular value system and to re-examine action in the context of other values. Since the value system of participants tends to be deeply ingrained, it may be necessary to explore values as a topic in itself. As in no other area it is important to have the appropriate sequence in educational experiences.

IV. ACTION

More than any of the other areas, action goes beyond cognitive skills. In general it involves skills or ability to manipulate things or people--to run group discussions; to organize a local committee; to supervise subordinates; to handle in incipient riot; to edit a newsletter; to use a computer in the management of town finances.

IV

IMPLEMENTING THE SYSTEM: PIPE DREAM OR REALITY?

In my judgment, this proposal is not an unrealistic pipe dream. In the final working paper I want to suggest why and how we may begin to implement the system.

If we are to be realistic we must recognize the limitations imposed by lack of staff and funds. This means we take only small steps, one at a time. Within the limitations, however, it is possible to pursue two courses, one systematic and the other unsystematic. So far we have been unsystematic. Our only standards have been those imposed by administrative red tape. We have followed the path of least resistance, and because we are without standards, or system we have learned little that helps us make the next decision. This is not only unsystematic, but in the long run it is unrealistic to operate the program without a clear sense of direction. I have proposed a system which provides us with a long range goal. I believe it is realistic on two counts: First, it fulfills the broad purposes of Title I of the Higher Education Act; and second, it is possible to apply it one step at a time--in other words, it is expedient in the best sense of the word.

It is not possible to lay out a precise plan specifying the order in which various steps shall be taken. Although this may be frustrating, it is also one of the realistic aspects of the system. It seems to me that there are a number of points where we might begin. In the paragraphs that follow I am listing six possibilities.

1) A sub-committee of the Advisory Council supplemented by representatives from higher education could be established to complete the state plan as specified by the act. This report could be used as a working paper.

2) In connection with the next round of proposals, follow the same procedures as in the past but make awards with the stipulation that grantees agree to restate proposals. Restatements should include hypotheses, precise objectives and outcomes, and methods for evaluation. Preparation for the restatement could be handled through a series of regional workshops supplemented by individual consultation.

3) Organize a consortium of universities supported by a Title I grant to develop hypotheses worth testing.

4) Organize a series of regional workshops to introduce the system.

5) Establish a newsletter as a means of communication with institutions of higher education and community agencies involved in continuing education. In the beginning this need not be elaborate. A start could be made with an occasional memorandum published when time permits and/or when there is something important to say.

6) Set up a system for storing information so that it can be used. Without a staff to collect and analyze the data progress will be slow. Nevertheless, without any effort, much data is already coming to the agency that bears on relevant factors such as: Substance and method of programs; ideas; evaluation; and public and private agencies involved in continuing education. If we know how to classify and store information, a great deal more could be collected without a great deal of effort.

Any of these steps are possible and I am sure there are many others. As for the reality of the situation, the major caution is

that we must be very modest in our expectations--progress is bound to be slow. The point is: If we know where we are heading and if whatever we do contributes to the establishment of a system for Title I, there will be progress toward more effective community service and continuing education

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